



King County

Board of Ethics

2005 Annual Report

King County Code of Ethics

Helping Employees Make Ethical Decisions



King County
Department of
Executive Services
Board of Ethics

King County Board of Ethics 2005 Annual Report

January 1, 2005, through December 31, 2005

Members

Lois Price Spratlen, Ph.D., Chair
Roland H. Carlson
Margaret T. Gordon, Ph.D.
Rev. Paul F. Pruitt
Jerry Saltzman

Executive Director

Catherine A. Clemens

Board Counsel

Alan Abrams

King County Executive

Ron Sims

Department of Executive Services

Paul Tanaka, County Administrative Officer



King County

Board of Ethics

Bank of America Tower
BOA-ES-3460
701 Fifth Avenue, Suite 3460
Seattle, WA 98104

206-296-1586
Fax 206-205-0725
TTY Relay: 711

board.ethics@metrokc.gov
www.metrokc.gov/ethics/

King County Graphic Design and Production Services
Sue McCauley, Graphic Designer 60028sm.indd

Alternate Formats Available

Table of Contents

Message from the Board	4
Report Summary	5
The King County Board of Ethics.	6
Board of Ethics Members	8
Board Members and Staff 1983 – 2005	12
Staff and Budget	13
Education and Training	14
Review of the Code of Ethics	18
Advice and Guidance	18
Disclosure Programs.	20
Collaboration with Other Ethics Agencies	21

Message from the Board



King County Board of Ethics

Department of Executive Services
Bank of America Tower, BOA-ES-3460
701 Fifth Avenue, Suite 3460
Seattle, WA 98104
206-296-1586 Fax 206-205-0725
TTY Relay: 711
board.ethics@metrokc.gov
www.metrokc.gov

March 2006

King County Executive Ron Sims
Metropolitan King County Council Chair Larry Phillips
Members of the Metropolitan King County Council
Separately Elected Officials

Our 2005 Board of Ethics Annual Report reflects the collaborative efforts of each Board member, along with Catherine Clemens, executive director, and Alan Abrams, legal counsel. Together we have accomplished all goals that we set for ourselves during this reporting period. In addition, we have achieved agreement on a Statement of Principles between the Seattle Ethics and Elections Commission and the King County Board of Ethics.

Beginning in 1997 and continuing to the present time, our Board has used a preventive framework to guide our Board responsibilities. Education is the central component of a preventive framework. Our Board's educational program continues to be focused on reaching elected and appointed officials, managers, supervisors, employees and county volunteers at all levels. Toward this end, we have developed written and electronic web-based educational materials that are readily available to all employees in county government and other interested citizens who desire to have this information.

Since 2004, Dr. Margo Gordon and Executive Director Wayne Barnett of the Seattle Ethics and Election Commission have worked to develop the Statement of Principles which our Board and this Commission have mutually adopted. This represents a significant accomplishment for these agencies.

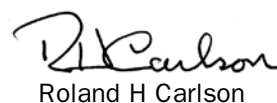
The accomplishments reflected in this Annual Report are due in part to the stability of membership in our Board and staff; regular meetings with County Executive Ron Sims; and outreach to county employees and interested citizens who request services. This report, written by Ms. Clemens, is designed to serve as an educational resource to all readers.

Every initiative that is developed and implemented by our Board is designed to make all aspects of our work in county government transparent and known to residents of King County. Our Board takes pride in promoting ethical conduct in all areas of county government.

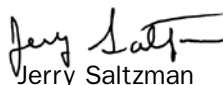
Sincerely,


Lois Price Spratten, Chair


Paul F. Pruitt


Roland H. Carlson


Margaret T. Gordon


Jerry Saltzman

Report Summary

Serving King County Since 1972

Achievements

- Trained over 2,220 employees or approximately 14% of all county employees.
- Continued the awareness campaign by publishing and distributing an ethics brochure specifically for King County board and commission members; conducting a voluntary on-line survey-quiz for county employees; and redesigning the ethics Web site.
- Issued an important advisory opinion related to the Code of Ethics notification requirements in the presence of potential conflicts of interest.
- By the April 15th deadline, achieved 99.7% filing compliance for the financial disclosure program for employees and elected officials, and achieved 96.8% filing compliance for board and commission members.
- Sought ways to work collaboratively with other ethics agencies within Washington State, including continued work on a Statement of Principles.

Board Activities and Outreach

- The Board conducted 10 public meetings and members maintained an 88% attendance record.
- The Board hosted an annual reception on May 25th for county leadership.
- Chair Price Spratlen met twice with the executive, accompanied by members Rev. Pruitt and Dr. Gordon respectively, in informal sessions to discuss ethics-related issues within King County government.

Goals and Performance Measures

- **Goal I: Educate County Employees.** Over 2,220 county employees received ethics education in 2005, with an emphasis placed on reaching new employees (58%) and supervisors, including all directors and their deputies (31%). In March, the Board and executive director continued the awareness campaign begun in 2003, by publishing and distributing an ethics brochure specifically for King County board and commission members. Later in October, the ethics office conducted a voluntary on-line survey-quiz for all county employees designed to raise awareness of the ethics code, the Board and office, and the services they provide. Over 21% of county employees participated. Finally, the executive director guided a redesign of the ethics Web site, making it more relevant, informational, and easier to navigate.

- **Goal II: Continue Systematic Review of the Ethics Code.** On April 4, 2005, the County Council passed an amendment to the ethics code proposed by the Board of Ethics in 2003. The matter related to oaths for disclosure statements, making the statements legally enforceable under the law.

- **Goal III: Provide Advice and Guidance.** The Board received a request regarding use of county resources for employees wishing to plug personal electric cars into county outlets and determined that the department might implement an official pilot program since electric cars are in keeping with county policies on alternative means of transportation; the department did create such a program and will report on the status to the Board in early 2006. Later, the Board of Ethics issued an advisory opinion addressing the question: Whether there are specific guidelines for employees and supervisors in cases of potential conflict of interest under the Code of Ethics? Believing that trust in government is possible when the public is confident that all county actions free from conflict of interest, employees must notify their supervisor in writing of a potential conflict, and supervisors must resolve the matter and respond in writing.

- **Goal IV: Conduct the Financial Disclosure Program and Consultant Disclosure Program.** As of the filing deadline of April 15, 2005, 99.7% of the 2,411 affected officials and employees had filed statements of financial and other interests as required under K.C.C. 3.04.050; 96.8% of the 432 county board and commission members had filed. Under the consultant disclosure program, approximately 300 contractors and vendors filed consultant disclosure forms with the ethics office as required by K.C.C. 3.04.120. Each disclosure form is reviewed by the executive director for completeness and potential conflicts.

- **Goal V: Collaborate with Other Ethics Agencies.** The Board of Ethics continued its work on a Statement of Principles, and has invited other ethics agencies in Washington State to take part. In addition, the ethics office continued its active participation as a member of the international Council on Governmental Ethics Laws (COGEL); and as a member of the Northwest Ethics Network, an association of ethics officers in public, private, and non-profit organizations.

The King County Board of Ethics

Mission

To ensure the highest standards of public service by developing, disseminating, and promoting readily understandable ethics requirements for King County employees and agencies.

Authority

The King County Board of Ethics is authorized by King County Code 3.04, Employee Code of Ethics.

The Board

Created by ordinance in 1972, the Board of Ethics is a five-member citizen advisory, administrative, quasi-judicial board. Authorized by K.C.C. 3.04, the Board may interpret the code through advisory opinions, and implement forms, processes, and procedures to ensure compliance with the ethics code. In addition to those responsibilities, the Board oversees the administration of financial and consultant disclosure requirements, and increases awareness of ethics issues through an extensive education and training program. The Board also hears appeals on findings by the Office of Citizen Complaints—Ombudsman. The Board is assisted by the executive director in a central office and legal counsel from the prosecuting attorney's office, and serves more than 13,000 employees within the legislative and executive branches of county government as well as the general public.

Two members of the Board are to be appointed by the King County Executive and two members are to be appointed by the executive based on nominations made by the King County Council. The fifth member, who serves as chair, is to be appointed by the executive based upon nominations from the other Board members. In 2005, the Board maintained a full complement of five members, all serving in current terms.

The Board conducted 10 public meetings in 2005 and members maintained an 88% attendance record. During the annual half-day board retreat held on Saturday, January 15, the Board approved the 2004 Annual Report and the 2005 business plan, and adopted the 2005 mission and goals.

2005 Goals

- Goal I:** To educate county employees, county managers, and board and commission members of their obligations to the public under the Code of Ethics, and how ethics is a positive tool which supports both good management practices and good public service on behalf of the citizens of King County.
- Goal II:** To continue a systematic review of the Code of Ethics and make appropriate recommendations for consideration by the executive and County Council.
- Goal III:** To provide timely advice and guidance to county employees and county elected officials on compliance with the King County Code of Ethics.
- Goal IV:** To conduct an annual review of financial disclosure statements for county officials and county employees to identify potential conflicts of interest with their official duties; to conduct timely review of consultant disclosure statements to identify potential conflicts of interest for consultants with their duties related to county contracts.
- Goal V:** To collaborate with other ethics agencies both public and private within the State of Washington and the United States and Canada for the purpose of information exchange and to consider program improvements for the King County ethics program.

The King County Board of Ethics (continued)

2005 Initiatives

In addition to its primary functions, the board actively pursued new initiatives in 2005 as follows.

Awareness Campaign. The Board continued its work on this important initiative created and designed to raise awareness of the ethics code, the Board and office, and the resources they provide. Details of campaign activities are found on page 14.

Annual Board Reception. The Board hosted its Eighth Annual Board of Ethics Reception on May 25, for County Council members, the executive and his staff, department directors, separately elected officials, former Board of Ethics members, and representatives from other ethics jurisdictions. The purpose of this event was to heighten awareness of the importance of ethics within King County government, to note achievements of the Board during the past year, and to formally recognize county employees who made a significant

contribution toward those goals. Executive Ron Sims and County Council Chair Larry Phillips attended and gave brief remarks. Chair Price Spratlen spoke and the executive director presented certificates of appreciation to three employees: Roy Dodman, senior buyer in the Procurement Section of the Finance Division, Department of Executive Services; Pat Presson, finance administrator in the Department of Adult and Juvenile Detention; and Lisa Werlech, program analyst in the Risk Management Division of the Department of Public Health. (Please see the ethics Web site for details on the contributions of these employees.)

Meetings with County Leadership. In order to create cooperative working relationships with the legislative and executive branches of government, the Board established meetings with the executive to discuss ethics-related issues within King County government. Meetings in 2005 were as follows:

<i>Date</i>	<i>Board Members</i>	<i>County Leadership</i>
September 8	Dr. Price Spratlen; Rev. Pruitt	Executive Sims
May 9	Dr. Price Spratlen; Dr. Gordon	Executive Sims

Board of Ethics Members



Lois Price Spratlen, Ph.D., Chair **1994 – present**

Lois is the University Ombudsman and Ombudsman for Sexual Harassment at the University of Washington, and a professor in the School of Nursing. She joined the UW faculty in Psychosocial Nursing in 1972 after receiving her MN degree from UCLA with specialization in community mental health nursing. Her BS in nursing is from Hampton University, Hampton, VA, and her Ph.D. in Urban Planning is from the University of Washington. She is a board certified psychotherapist and holds the designation of Clinical Specialist. In 1999 Lois was inducted as a Fellow in the American Academy of Nursing.

Having served as Ombudsman for Sexual Harassment since 1982, Lois was appointed University Ombudsman in 1988. She is the first woman on the UW campus to occupy this latter role, which was established in 1969. An active leader within the California Caucus of College and University Ombuds, Lois was named Ombuds of the Year in 1998. She also founded and is co-editor of *The Journal*, the only peer-reviewed publication for ombuds scholarship.

Locally, Lois has served other boards, including Group Health Cooperative of Puget Sound and the Metropolitan Seattle Urban League. She is past president and active member of Mary Mahoney

Professional Nurses Organization, as well as the founder of its endowment, and past president of the Far West Region of the Hampton University Alumni Association. Lois is the author of *African American Registered Nurses in Seattle: the Struggle for Opportunity and Success*, and is currently working on a companion volume on African American Registered Nurses in Mississippi.

In 2005 Lois received the UW's Samuel E. Kelly Distinguished Alumni award for her life-time contributions to diversity. Her career community service contributions were recognized in 2006 with the receipt of the Martin Luther King, Jr. Award in the UW Health Sciences and her professional contributions were recognized by her induction into the Washington State Nurses Association Hall of Fame.

During her tenure as chair of the King County Board of Ethics, Lois has made prevention through education a primary focus, implementing an ethics education program designed to reach all employees, appointed and elected officials. She has promoted outreach to the County Executive and Council, and to other city, county and state ethics agencies. In 2004 Attorney General Rob McKenna asked Lois to serve on his transition team to focus on ethics-related matters.

Board of Ethics Members



Roland H. Carlson **1994 – present**

Roland (Ron) Carlson retired as an executive of the Boeing Company in 1994 after 34 years of service. His assignments included Defense and Space Division New Business Management and Product Line Planning, proposal manager on the Weapon and Basing System Support Programs, and manager of Southwestern Technical Office in Albuquerque, New Mexico.

Ron Carlson spent 5½ years as a Research and Development Officer in the U.S. Air Force. Key assignments included structural nuclear blast and shock experiments at the Nevada Test Site. He is presently a retired Air Force Reserve officer.

His academic and professional affiliations include Tau Beta Pi, Sigma Xi, the Geophysical Union, American Society of Civil Engineers, Chi Epsilon (MSU charter member)), Phi Kappa Phi, American Association for the Advancement of Science, Boeing Management Association, Air Force Association and the American Defense Preparedness Association.

Mr. Carlson's professional activities include Registered Professional Civil Engineer in New Mexico; National Academy of Science and Defense Science Board Committees on Nuclear Hardening; consultant to NASA for geophysical experiments on the last Apollo lunar flight; member of the President's Committee for the National Medal of Science for two three-year terms; and a term as 47th District Representative in the Washington State House of Representatives.

Additional activities include Imperials Board of Directors, King County Library Board of Directors, and many years of Boy Scout work including chairing the Eagle Scout Committee.

Ron Carlson received his Bachelor of Science degree in Civil Engineering from Michigan State University. He received a Master of Science degree in Structural Engineering from the University of Illinois. He is the author/co-author of numerous professional papers and journal articles.

Board of Ethics Members



Margaret T. Gordon, Ph.D. **1999 – present**

Margaret (Margo) Gordon is Dean and Professor Emeritus of the Daniel J. Evans School of Public Affairs at the University of Washington.

She joined the UW faculty in 1988, and after nearly ten years of service as Dean elected to engage full time in teaching and research. She taught “News Media and Public Policy” and “Race, Ethnicity and Public Policy.” Her most recent research has been funded by the Ford Foundation (Quality Journalism in the 21st Century) and the Bill & Melinda Gates Foundation (Impacts of the Public Access Computing Project).

Professor Gordon retired in July, 2004, but is continuing to teach as an emeritus professor. Prof. Gordon also is currently serving as the vice president for North America for the International Association of Schools and Institutes of Administration. She formerly served on the Executive Council as the past president of the National Association of Schools of

Public Affairs and Administration and as a member of the National Governing Board of Common Cause, and locally she serves on the Advisory Board of KCTS, the Washington News Council and the Washington Women’s Forum.

Before coming to Seattle, Prof. Gordon was director of the Center for Urban Affairs and Policy Research and a faculty member at Northwestern University. She has also taught at the University of Illinois and the University of Nigeria.

She was named a charter member of the Hall of Achievement by her alma mater (Northwestern University); received an Exemplary Public Service Award in recognition of her dedication to diversity in higher education during her presidency of the Policy Board of the Public Policy and International Affairs Fellowship program; and librarians gave their CHOICE award for best book to her co-authored work *Female Fear: The Social Costs of Rape*.

Board of Ethics Members



Rev. Paul F. Pruitt **1992 – present**

Paul Pruitt was born in Nebraska in 1922. The Pruitt family moved to Idaho in the Great Depression, then on to Washington in the late 1930s.

Paul's high school was in Kirkland, college at the College of Puget Sound (now UPS) in the early forties. He attended and received his Bachelor of Divinity degree at Yale Divinity School, New Haven, Connecticut. There he met and married Yale School of Nursing student Mary Margaret Dunlap. They raised four children, now grown and establishing their own families.

Paul served churches of the United Church of Christ in Anacortes, Lowell, University Place, and the High Point Community Church and Christian Center in West Seattle. The Pruitts spent three and one-half years in missions with their church in the Philippines. For two years Paul was a vocational counselor at the Clover Park Vocational School. He served in the Washington State Legislature for the 34th District for eight years. He retired from a ministry at the Fauntleroy Church, United Church of Christ, in West Seattle in December of 1995.



Mr. Jerry Saltzman **2003 – present**

Jerry Saltzman has been a psychotherapist in private practice for thirty years. As part of his practice, Jerry has conducted groups and workshops on removing personal and culturally imposed barriers to the development of open, workable human relationships.

Prior to becoming a psychotherapist, Jerry taught philosophy at UCLA and California State University, Northridge. His areas of specialization were ethics and political philosophy. Recently he taught similar courses at Cascadia Community College. Jerry now teaches courses in the graduate psychology and education programs at Antioch University.

Outside of his professional work, Jerry devotes considerable time advocating for economic and social justice. His past work with the African American/Jewish Coalition for Justice and his present work with Caucasians United for Reparations and Emancipation focuses on demonstrating how a thoughtful approach to the issue of reparations to descendants of enslaved Africans could be a profound step toward making our society a more principled one which is more responsive to human needs. This work is reflected in Jerry's contribution to an upcoming book entitled, *The Debtors: White America Responds to the Call for Black Reparations*.

Board Members and Staff 1983 – 2005

Board Members

Judith Woods, Ph.D.
1983 – 1992

Hubert Locke, Ph.D., Chair*
1984 – 1987

J. Patrick Dobel, Ph.D., Chair
1987 – 1996

Timothy Edwards, Chair
1989 – 1996

Rev. Paul F. Pruitt
1992 – present

Lois Price Spratlen, Ph.D., Chair
1994 – present

Roland H. Carlson, Acting Chair
1994 – present

Lembhard G. Howell
1996 – 2002

Judge Paul M. Feinsod
1997 – 1999

Margaret T. Gordon, Ph.D.
1999 – present

Jerry Saltzman
2003 – present

Staff

Margaret A. Grimaldi
1992 – 1997

Catherine A. Clemens
1997 – present

*“Chair” indicates the member served in that capacity during his or her tenure on the board.

Roster based on available information.

Staff and Budget



Catherine A. Clemens

Executive Director

1997 – present

As executive director to the Board of Ethics, Ms. Clemens provides staff support to the five-member board and is responsible for education and information on ethics-related issues to more than 13,000 employees. She conducts weekly ethics orientations for new employees; half-day, in-depth seminars for supervisors; issue-specific discussions for general staff; and occasional forums for employees with specialized responsibilities, including human resources personnel and contract managers.

Ms. Clemens manages all programs under the provisions of the Code of Ethics, including the annual disclosure of financial and other interests for employees, elected officials, and board and commission members, as well as the consultant disclosure requirement for vendors, contractors, and consultants doing business with King County. In addition,

she publishes advisory opinions, a Code of Ethics summary in plain language, the annual report, ethics-related brochures and ethics awareness materials, and maintains a comprehensive Web site: www.metrokc.gov/ethics/.

The executive director manages the Ethics Help Line and responds to all ethics-related inquiries from county employees and the general public; she provides written informational responses upon request.

Susan Harrington served as the 2005 financial disclosure coordinator.

Alan Abrams, Senior Deputy Prosecuting Attorney of the King County Prosecuting Attorney's Office, has served as legal counsel to the Board since 2003.

Budget for Calendar Year 2005

Budget	\$142,551
Full Time Staff	1.0

Goal I — Education and Training

To educate county employees, county managers, and board and commission members of their obligations to the public under the Code of Ethics, and how ethics is a positive tool which supports both good management practices and good public service on behalf of the citizens of King County.

Awareness Campaign

During 2003, the Board of Ethics determined it would create a multi-year campaign to raise employee awareness of the Code of Ethics, the Board of Ethics, the ethics office, and the services they provide. Each year, the Board and office has built upon the success of the past. In March, the executive director created a brochure for volunteer board and commission members in the service of King County to acknowledge their work, and to highlight portions of the Code of Ethics that affect the relationship between member responsibilities on behalf of the county and personal and financial interests. All staff liaisons to these boards and commissions received copies for distribution to the members. The campaign also included an ethics survey/quiz, meetings with county leadership, an annual reception, and the redesign of the ethics Web site, with details to follow in this report.

Ethics Survey/Quiz

Later in October, the executive director conducted an on-line, interactive survey/quiz to determine the extent to which employees understand basic provisions of the Code of Ethics, and the quality of the employee's experience and effectiveness of the contact when seeking information from the ethics office. Executive Sims assisted the Board by alerting King County department directors and separately elected officials of the upcoming ethics

survey/quiz. A week later, he sent a county-wide email to 11,000 employees with access to a computer asking them to participate in the survey/quiz via a Web link. The broadcast email was quickly followed by a second brief message with Web link via the county-wide employee messaging system. A summary of the survey/quiz results reveals the following facts:

- Total distribution: 11,000
- Overall participation rate: 21%
- Nine of the ten questions received 81% or above correct answers.
- Over 13% of respondents have contacted the ethics office for ethics information.
- Of those who contacted the ethics office, 83% reported that their most recent contact met their needs completely or helped them to make a decision.
- Of those who contacted the ethics office, over 71% stated they were very satisfied or satisfied with their recent contact based on the quality of the experience, including timeliness and courtesy.
- Four percent, or 116 respondents, offered comments or posed questions; 33 employees asked to be contacted.

Based on the responses to the survey/quiz, it is concluded that:

- High participation rate indicates employees are interested in ethics as a topic.
- The high number of correct responses indicates

Question	Response %	Basis
Nine eithics code-based questions	81%	Correct answers
Contact with ethics office	13%	Of respondents
Contact met needs or was helpful	83%	Met needs completely or helped caller
Satisfaction with contact	71%	Satisfied or very satisfied

Goal I — Education and Training (continued)

that county employees have a strong, basic-level understanding of simple, key ethics issues.

- Employees who contacted the ethics office for information received helpful, timely and courteous responses, and were satisfied with the experience.

A complete 2005 Ethics Survey/Quiz report may be found on the ethics Web site or by contacting the ethics office.

Training and Education Overview. Over 2,220 employees, including board and commission members, received ethics training in 2005, with an emphasis placed on reaching new employees (58%) and supervisors, including directors and their deputies (31%). Other significant employee categories included general employees (5%), human resources specialists (2%), and financial disclosure coordinators and liaisons (3%). By focusing primarily on new employees and supervisory staff, the Board and executive director help to ensure that new employees have an awareness of the code before beginning work, and then know who to contact for ethical guidance during their tenure; and that supervisors have the skills to identify and resolve ethics-related issues affecting their agencies, and have the opportunity to develop ethical practices so they may lead others more effectively.

The number of employees who received ethics training in 2005 increased significantly from the previous year by 717 or 48%; this change is due, in part, to an educational outreach program that occurs every other year. The number of presentations this year increased from 94 to 120, or 28% over 2004, and the training hours increased by 83%. Therefore, the executive director reached more employees – particularly directors, deputies, supervisors and managers – and increased both the number of presentations and hours of training.

Classes. Since 1994, the Board of Ethics has consistently identified education and training for county employees as its first goal and priority. To meet that goal, the executive director conducted weekly, mandatory

orientations for new county employees through the Human Resources Management Division (HRMD). The orientations included an overview of the ethics code and an introduction to the ethics Board and office. New employees received a Summary of the Code of Ethics; an Ethics Help Line card, and a brochure on ethics-related interactions with vendors, contractors and customers. They are encouraged to use the ethics Board and office as a resource to help them make ethical decisions in the workplace.

The executive director also conducted in-depth, half-day ethics seminars for supervisors through the mandatory HRMD Supervisor Training Program. These courses included a comprehensive review of the code, an introduction to the ethics Board and office, a description of a decision-making model, and an interactive group activity in which supervisors discussed, analyzed, and solved ethics-related dilemmas.

Year	Presentations	Hours	Participants
1994	29	68.00	680
1995	24	72.00	600
1996	32	91.00	750
1997	14	11.00	630
1998	20	21.00	1,318
1999	36	38.50	1,215
2000	32	46.25	917
2001	34	44.50	1,166
2002	43	37.75	1,043
2003	64	76.00	1,785
2004	94	47.75	1,505
2005	120	87.50	2,222

Goal I — Education and Training (continued)

Question	Response %	Rating
Applicability of knowledge to current job	93%	Good and above
Quality of course content	95%	Good and above
Knowledge and ability of instructor	97%	Good and above
Gained knowledge during course	66%	Minimum of 1 step gain

Evaluations. HRMD conducted evaluations following each supervisor training course. Class participants were asked to rate the applicability of the knowledge and skills gained through the course to their current job, the quality of course content, and knowledge and ability of the instructor. In response to these questions, evaluators could choose from poor, fair, good, very good, and excellent. In addition, attendees were asked to rate their knowledge of county ethics requirements before and after the class on a scale of 1 to 5. Participants rated the ethics course as shown above.

Informal Presentations. The ethics office offered consultation and ethics education to departments by providing sessions tailored to the needs and schedules of the agency employees. These sessions included one-hour presentations during regularly scheduled staff meetings that focused on ethics-related issues specific to, or identified by, the group.

Specialized Training. Additional training sessions focused on groups with specialized functions. These included department coordinators and board and commission staff liaisons with responsibilities related to the financial disclosure program, and the Personnel Forum, an association of King County human resource specialists.

Employee Type	Number	%	Hours	Subject Focus
New Employees	1,295	58%	19.50	Ethics Overview
Supervisors/Managers	657	31%	59.00	Ethics Code
General Employees	110	5%	2.50	Ethics Code
HR Personnel	53	2%	1.50	Ethics Code
Board/Commission Staff	48	3%	4.50	Financial Disclosure
Directors/Deputies	32	Incl.*	Incl.*	Ethics Code
Department Coordinators	15	Incl.**	Incl.**	Financial Disclosure
Board/Commission Members	12	<1%	.50	Ethics Code
Total	2,222	100%	87.50	

* Directors/deputies statistics are included in supervisors/managers total.

** Department coordinators statistics are included in board/commission staff total.

Goal I — Education and Training (continued)

Technology. Working with Information Technology Services, the executive director re-designed the ethics Web site making it more comprehensive and easier to navigate. Any employee or citizen with Internet access may visit the site at www.metrokc.gov/ethics/. There they will be able to read and review the Code of Ethics and related summary in plain language; all advisory opinions issued by the Board in their full text; all rules and procedures; disclosure programs and related requirements and forms; ethics publications and recent news; information on the Board and its office; and the current and historical meeting schedules, agendas and minutes. This year, all disclosure forms are available on the Web site and may be filled out on-line.

Publications and Awareness Materials. The executive director published and distributed the following publications and awareness materials in 2005:

- **Summary of the Code of Ethics**—a summary of the ethics code in plain language with examples — required to be received by all new employees.
- **Ethics Help Line Card—Helping Employees Make Ethical Decisions**—a rolodex-sized card with contact phone number designed for employees who have questions about ethical ways to approach their county work—distributed to all county employees.
- **You And King County: Doing Business with Contractors, Vendors, Clients, and Customers**—a brochure for those doing business or seeking to do business with the county, as well as county employees working with these client groups; highlights sections of the ethics code that affect these relationships—distributed to both employees and contractors, vendors, and customers.
- **Members of King County Boards, Commissions and Other Multi-Member Bodies** — a brochure for volunteer citizens, highlighting ethics code provisions that affect their services on county boards and commissions.
- **Advisory Opinion Subject Index and Summary Guide**—a complete set of summarized advisory opinions issued by the Board of Ethics, organized by subject and date issued—distributed in supervisor seminars and to county leadership and upon request.
- **2004 Annual Report**—distributed to County Council members, the executive and executive cabinet, department directors and managers, past ethics board members, and local, regional, and national ethics agencies.
- **Ethics Poster**—12" x 17" poster with peel-off Ethics Help Line card for display in areas wherever employees expect to find helpful county information—distributed throughout the county.

Goal II — Review of the Code of Ethics

To continue a systematic review of the Code of Ethics and to make appropriate recommendations for consideration by the executive and county council.

Oaths and Declarations for Statements and

Forms. On April 4, the County Council passed an amendment to the Code of Ethics which was proposed by the Board of Ethics in 2003, which relates to declarations for statements of financial and other interests and for the consultant disclosure form. [K.C.C. 3.04.050(F) and K.C.C. 3.04.120(A)(3)]

The amendment will add language to ensure that the declaration or oath in the statement and form will be legally sufficient for prosecution should an employee or consultant fail to fully disclose required information.

Goal III — Advice and Guidance

To provide timely advice and guidance to county employees and county elected officials on compliance with the King County Code of Ethics.

Advisory Opinions. In October, the Board of Ethics issued an advisory opinion addressing the question: Whether there are specific guidelines for employees and supervisors in cases of potential conflict of interest under the Code of Ethics? The Board opined that trust in government is possible when the public is confident that all county actions and transactions are free from conflict of interest. Therefore, under K.C.C. 3.04.037, employees must notify their supervisor in writing if they become aware of a potential conflict, and supervisors — having an equal responsibility — must research the issue, take action to resolve the potential conflict, provide the employee with a written resolution of the matter, and maintain the disposition of the issue in files. During its

meetings, the Board provided guidance on two issues: 1) the use of county resources for employees wishing to plug personal electric cars into county outlets, and 2) post-employment for a former employee. In the first instance, the Board determined that, while the activity would imply use for personal convenience or profit, the department might implement an official pilot program allowing such use since electric cars are in keeping with county policies on alternative means of transportation; the department did create such a program and will report on the status to the Board in early 2006. In the second instance, the Board tabled a decision until a later time when the requestor provides more complete information.

Goal III — Advice and Guidance (continued)

Staff Informational Responses. During the year, the executive director issued 135 staff informational responses in which she provided a written response to employee inquiries on situations where the code and existing advisory opinions have already been applied to an analogous issue. Issues included, in order of numbers of requests: use of county resources; conflict with or use of official position; political activities in the workplace; acceptance of gifts or things of value; post-employment; acceptance of donations or discounts; outside employment; and acceptance of meals and attendance at events. Because existing advisory opinions already provide guidance on ethical situations commonly faced by county employees, satisfactory responses to inquiries frequently do not require a new opinion. However,

recipients of staff informational responses always have the option of requesting a formal advisory opinion from the Board.

Telephone inquiries. Phone consultations help resolve ethics-related questions by providing employees and supervisors with the information they need to make common-sense decisions. In addition to reviewing the situation and providing clarifying information, the executive director encouraged employees to talk the matter over with their supervisors to resolve the issue within the context of departmental policy. During the year, the executive director responded to over 750 telephone calls; this figure does not reflect outgoing calls placed by the executive director or e-mail messages. Categories of inquiry included, among others, 203 ethics-related questions from employees; 41 ethics-related questions referred to other agencies, 34 public inquiries, 46 questions on employee financial disclosure, 28 questions on the board and commission requirement for financial disclosure, and 69 inquiries on the requirement for consultant disclosure. Of the 203 ethics related inquiries, subject issues included, in order of numbers of requests: use of county resources; use of or conflict with official position; acceptance of gifts or things of value; outside employment; contracts; and post-employment.

Year	Ethics Advisory Opinions	Staff Informational Responses
1991	30	*
1992	16	*
1993	26	*
1994	28	12
1995	25	15
1996	10	15
1997	8	42
1998	4	44
1999	1	21
2000	0	70
2001	0	77
2002	0	87
2003	0	69
2004	0	159
2005	1	135
TOTAL	149	746

* Not issued prior to 1994

Goal IV — Disclosure Programs

To conduct an annual review of financial disclosure statements for county officials and county employees to identify potential conflicts of interest with their official duties; to conduct timely review of consultant disclosure statements to identify potential conflicts of interest for consultants with their duties related to county contracts.

Employees and Elected Officials. As of the April 15th deadline, 99.7% of the 2,411 affected officials and employees had filed statements of financial and other interests as required under K.C.C. 3.04.050. The executive director provided notices and regular reporting to the county executive, County Council, the ombudsman, and department directors as required by the King County Board of Ethics Rules Related to Filing Statements of Financial and Other Interests. In addition, the executive director reviewed each statement individually and is authorized to request additional or clarifying information before accepting the statement. Department coordinators received orientations in January and the ethics office provided weekly communications on employee filing status during the program period.

Board and Commission Members. As of the April 15th deadline, 96.8% of the 432 county board and commission members had filed statements of financial and other interests as required under K.C.C. 3.04.050. As

with employee statements, the executive director reviewed each statement individually and is authorized to request additional or clarifying information before accepting the statement. Staff liaisons received orientations in January and the ethics office provided weekly communications on employee filing status during the program period.

Consultant Disclosure. Under K.C.C. 3.04.120, each consultant entering into a contract to provide professional or technical services to the county costing over \$2,500 must file a sworn, written statement disclosing information related to potential conflicts of interest. The ethics office received and reviewed approximately 300 consultant disclosure statements in 2005 (2005 forms continue to be filed in early 2006.) All forms are individually reviewed and the executive director may request additional or clarifying information before accepting the form. No payment may be made on any affected contract until five days after receipt by the ethics office of the completed form.

Year	Board Members and Commissioners (# and % compliance)	Employees and Elected Officials (# and % compliance)	Consultant Disclosure Statements (# of filings)
1994	438 (% unknown)	2000 (estimate) (% unknown)	79
1995	498 (% unknown)	2000 (estimate) (% unknown)	89
1996	565 (% unknown)	2000 (estimate) (% unknown)	72
1997	612 (70%)	1,643 (79%)	33
1998	528 (89%)	1,671 (97%)	223
1999	445 (90% by 9/30)	1,857 (99.5% by 9/30)	263
2000	432 (100% by 8/14)	1,928 (100% by 8/14)	281
2001	464 (100% by 6/6)	1,927 (100% by 6/6)	300
2002	436 (92% by 5/14)	1,969 (100% by 5/14)	251
2003	448 (99% by 4/15)	2,119 (99% by 4/15)	299
2004	461 (97% by 4/15)	2,302 (99% by 4/15)	301
2005	432 (96.8% by 4/15)	2,411 (99.7% by 4/15)	300

Goal V — Collaboration with Other Ethics Agencies

To collaborate with other ethics agencies both public and private within the State of Washington and the United States and Canada for the purposes of information exchange and to consider program improvements for the King County ethics program.

The Board of Ethics continued its collaborative efforts with other Washington State ethics jurisdictions by working with the Seattle Ethics and Elections Commission on a Statement of Principles. In addition, the Board of Ethics continued its participation as a member of the

international Council on Governmental Ethics Laws (COGEL); the executive director was a conference speaker in December. The executive director is an active member of the Northwest Ethics Network, an association of ethics officers in public, private, and non-profit organizations.

